

85-2575

ROUTING AND RECORD SHEET (23)

SUBJECT: (Optional)

Proposed Agency Preservation Program

FROM: Director of Information Services
1206 Ames Building

EXTENSION

NO.

OIS 85-393

DATE

22 JUL 1985

STAT

STAT

TO: (Officer designation, room number, and building)

DATE

OFFICER'S INITIALS

RECEIVED

FORWARDED

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. EO/DDA

2.

3. ADDA

4.

5. DDA

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Harry:

The money needed for this program is being covered. Between the residue of the money you provided OIS for our FY 85 special needs (FOIA/PA, HRP, Ames/ISC, TSCADS) and our own funds, I have \$75,000 to devote this year and can make up the additional \$8,000 during the next two fiscal years.

As everything appears on track, we don't need to meet on this subject unless you so desire.

STAT

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OIS 85-393

22 JUL 1985

MEMORANDUM FOR: Deputy Director for Administration

FROM:

[REDACTED]
Director of Information Services, DDA

STAT

SUBJECT: Proposed Agency Preservation Program

1. The attached paper, prepared by the Information Resources Management Division, recommends implementing a formal Agency preservation program at the Agency Archives and Record Center (AARC). The paper was prepared at my request and is intended to provide you with more details than we could provide on this subject at the quarterly review on 4 June 1985. I believe it will answer any other questions that you may have had.

2. The paper identifies a number of areas that have been of concern for some time. You and I have discussed the space and environmental problems at the AARC in the past and as you know, we are taking steps to alleviate them. Equally important is the need to devote the resources necessary to comply fully with the laws and regulations governing the preservation of our permanent records and to provide the full range of support needed for the Historical Review Program. A number of preservation options have been considered and the paper recommends a practical approach. It would include the use of current staff and some current year funds to begin the program until budgeting can be accomplished for FY-1988.

3. We feel strongly about the need to provide the highest possible degree of protection to these important records and would like to meet with you for a discussion of our proposal at your convenience.

[REDACTED]
STAT

Attachment

DDA/OIS/IRMD/IMB

[redacted] dcw (18 july 1985)

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Distribution:

Original - Addressee
2 - DDA
2 - OIS
1 - IRMD
2 - IMB

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AGENCY PRESERVATION PROGRAM
FOR
PERMANENT RECORDS

INFORMATION RESOURCES MANAGEMENT DIVISION
OFFICE OF INFORMATION SERVICES
DIRECTORATE OF ADMINISTRATION

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A. PURPOSE

The purpose of this paper is to discuss the need for a formal Agency preservation program¹, to consider various preservation options, to describe the proposed program, and to identify funding requirements for the program.

B. BACKGROUND

1. The Agency Archives and Records Center (AARC) was established in 1951. Since then, it has operated in a number of locations each possessing disparate construction and undesirable environmental conditions. The present site, which opened in 1955, filled quickly and an annex was added in 1958. It is by far our best building to date but while bearing resemblance to an archival facility, it has some environmental problems.

2. There has never been a formal preservation program at the AARC, although there have been some ad-hoc projects to protect permanent records. For example, on one occasion a microfiche collection was reinspected, but no follow-up tests were ever conducted. Likewise, a motion picture collection was rewound to avoid core setting, but this practice was not continued. There were also efforts to use acid-free products to replace paper storage containers, microfiche envelopes, microfiche storage boxes, and microfiche separators, but these efforts were not completed. In addition, the National Photographic Interpretation Center (NPIC) has its film inspected periodically by contractors to determine if there has been any deterioration in its condition.

3. The AARC staff is concerned about the long-term condition of materials charged to their care, yet they currently exercise little control over the building conditions or the type of materials that are used by the Agency for storing permanent records deposited at the AARC. Implementing a preservation program at the AARC would be an important step toward improving the condition of the permanent records of the Agency until such time that they are declassified and released to the National Archives and Records Administration (NARA) under the Historical Review Program. In cases where documents are reviewed and not released to NARA, care and preservation become even more important because these records could be held for as long as 100 years.

¹For the purpose of this paper, preservation is defined as those procedures used to protect permanent Agency records from damage, deterioration, or destruction in order that they remain in good condition for use by Agency employees and eventually by historians and the general public after the records have been transferred to the National Archives and Records Administration.

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4. As permanent records accumulate, storage space and the enlargement of the Records Center become critical. There is an FY 1987 initiative for the base year in the amount of \$388 thousand, which represents additional shelving and an A&E Study. In the out year of FY 1988 there is \$3.4 million for construction of an annex to the Records Center to deal with the space problem. This addition should increase the AARC's capacity sufficiently to take us into the next century. Without this relief, the AARC might have to discontinue accepting materials for storage somewhere around 1988. As yet, no special features have been included in our request to assure optimal conditions for the long-term storage of permanent records. These will be identified in the next few months and be the subject of another paper.

C. WHY A PRESERVATION PROGRAM?

1. There are several pressing reasons why the Agency must now take steps to expand our preservation efforts. There are Federal laws that require us to maintain and preserve our records until they are transferred to the National Archives, there is a need to focus on improving storage and environmental conditions at the AARC, and a requirement to provide full support to the Agency's Historical Review Program.

2. The Federal Records Act of 1950 and the Federal Property Management Regulations (FPMR) require federal agencies to cooperate with NARA in assuring the maintenance and security of records of continuing value. This requirement means providing proper maintenance of records deemed appropriate for permanent preservation.

3. Although most agencies transfer records to the National Archives when the records are 20 to 30 years old, the Agency retains custody of its permanent records for a much longer period. Under the DCI's charge to protect intelligence sources and methods, records are retained until they no longer require protection in the interest of national security. For records that contain information on intelligence sources or methods, the transfer may not take place for 100 years or more. Consequently, the Agency must bear the responsibility for the preservation of these records until they can be transferred.

4. Several deficiencies exist in the present environmental and storage conditions at AARC. Some of these were documented recently in a study commissioned by NPIC on the condition of NPIC's film which is stored at AARC. The Bridgehead Film Evaluation and Test Service, which conducted the study, reported numerous problems associated with the films' original processing

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and packaging as well as some deficiencies in the storage conditions and environment at AARC. Some of the problems cited were:

- a. Incorrect processing of early film.
- b. The use of improper film splicing materials.
- c. Use of film storage containers and inserts that cause film deterioration.
- d. Less than ideal temperature/humidity conditions in the file storage area.
- e. Air recirculation and filtering system.
- f. The location of an incinerator upwind of facility.

Most of the original processing and packaging problems can be eliminated or greatly reduced by the kind of maintenance procedures that will be proposed for a preservation program later in this paper. However, correction of the environmental and storage conditions will require a large expenditure of funds that have not yet been budgeted. We will address these questions further once the deficiencies have been documented more completely.

5. Finally, the concern for preservation is further illustrated in the report of some outside consultants to the Director of Central Intelligence on establishing an Historical Review Program. Noting that security considerations require the Agency to retain custody of documents longer than most agencies, the consultants suggested that special precautions may be necessary to guard against undue deterioration of records. They offered the cautionary recommendation, not based on observed shortcomings, that "...the DCI satisfy himself that the preservation needs of the CIA are being met." OIS has not yet been questioned about its efforts to preserve these records; it would be prudent to take steps to provide the protection required before Congress or other groups raise questions about our program. Unless we do so, we will be sorely embarrassed if and when we are questioned.

D. PRESERVATION OPTIONS

1. When considering the future course of the Agency's preservation effort, there are several options that can be exercised. We can continue the ad hoc approach that we have taken for many years; we can use an emerging technology like optical disk storage or an existing process like microfilm to convert more materials to a more stable storage medium; or we can develop a systematic program for maintaining our permanent records collections at AARC. Each of these options will be discussed in the succeeding paragraphs.

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2. While any preservation effort will be helpful, to continue business as usual, performing preservation maintenance on an ad hoc basis, will in effect contribute to the continued deterioration and eventual loss of the Agency's permanent records. The sporadic attempts at preservation in the past have done little to improve the overall condition of records stored at the Center. Moreover, there is no assurance with an ad hoc program that preservation is being performed in relation to archival needs. In our opinion, this is not a valid option since this type of approach lacks consistency and follow-through.

3. As for the second option, the AARC contains a variety of information media which could be converted to microforms. The AARC's permanent record holdings consist of 34,500 cubic feet (69,000,000 pages) of paper records that have not had any preservation maintenance or have only been partially maintained. The conversion of some of these collections to indexed microforms is a preservation method that would ensure their long-term viability, as well as help to recover a significant amount of storage space at the Center (assuming the original document is destroyed after filming). Moreover, silver microfilm (like paper) is a legally acceptable archival storage so a mass conversion effort would cause no problems with NARA. The drawback is that a microfilming effort of this magnitude would be prohibitively costly and time-consuming. For example, if only 20,000 cubic feet (40,000,000 pages) were microfilmed (but not indexed) it would take one camera operator, using existing planetary camera equipment, about 48 years ($40 \text{ million pages} \div 400 \text{ pages/hour} = 100,000 \text{ hours or 48 years}$) to complete the project. The cost of such an effort would be about \$12 million.¹

4. Another form of preservation and miniaturization that could be used is the optical disk. Like microfilming, conversion of the AARC permanent collection to optical disk media would be an expensive and time-consuming effort. The time and labor costs to convert the 20,000 cubic feet to optical disk would be comparable to those for microfilming. In addition, equipment to do the job would have to be acquired. The equipment needed would cost an estimated \$15-20 million, resulting in a total cost of between \$27 and 32 million for the conversion effort.² There is also a serious question as to whether we would be permitted to destroy the original documents since NARA has not yet accepted the optical disk as a legally acceptable archival medium for records.

¹Based on NARA projected average cost of about \$.30 per page, which includes preparation, camera work, processing, and verification.

²Includes cost of jukeboxes for disk storage which most likely would not be needed for archival storage where use rate should be very low. Some lower cost storage equipment would be sought.

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5. It is possible that at some point in the future it may become cost effective to convert some collection of permanent records to another medium such as microform or optical disk, but for now we believe that neither of these approaches is a viable option.

6. When considering the options available to us today, the most practical approach to preservation is what we have termed preventive records maintenance. This approach would include the improvement of environmental conditions and the use of acid-free products for storing permanent records at the Center. Maintenance would involve gradually replacing all the current file folders and boxes housing permanent records at AARC with acid-free ones, and setting up a procedure as part of the accessioning process to ensure that all future deposits are made in acid-free containers. It would also include testing records to determine any evidence of deterioration and undertaking some limited restoration efforts. This preventive maintenance option could be implemented with a minimal increase in AARC personnel and could be accomplished in less than ten years at an estimated cost of \$500,000.

E. THE PROPOSED AGENCY PRESERVATION PROGRAM

1. The goal of our preservation program would be to preserve the documentary heritage of the Central Intelligence Agency and its predecessor organizations until the Agency's permanent records can be declassified and sent to the National Archives.

2. If approved, we would start the program almost immediately. (Details on the major preservation activities envisioned are shown at Tab A.) Working in conjunction with the Historical Review Program (HRP), we would begin by maintaining records of the Strategic Services Unit and the Central Intelligence Group that are not declassified during the historical review and are retained by the Agency. As those records are returned, we would place them in acid-free boxes and folders before they are re-deposited in the Center. We would not perform any maintenance on records declassified in the HRP because NARA would assume that responsibility. At the same time, we would be helping to prevent future maintenance problems by ensuring that all new deposits of permanent records are housed in acid-free containers. Initially, Records Center personnel would perform the maintenance on deposits by substituting acid-free containers for the ones used by components. Later, we would provide these containers to components to place future deposits in.

3. Periodic inspection of records for signs of deterioration would also be integral to this program. Microform copies of original documents that have been destroyed would be periodically reinspected for evidence of degradation. If any degradation were found, corrective action would be taken. Similarly, simple tests would be performed on paper records to determine their condition.

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For those that show signs of deterioration, new copies would be made. Similarly, if we encountered stencil, mimeograph, Thermofax, or Verifax documents during processing of permanent records, these materials would be recopied. We would, of course, use a more stable plain-paper electrostatic reproduction process.

4. None of this preservation maintenance can be achieved without some expenditure in terms of equipment, supplies, manpower, renovations, and possibly new construction at AARC. To the maximum extent, we will do as much as we can with what we have. We intend to start this program gradually and progress as fast as is economically possible. Cost estimates and a timetable to complete this effort are discussed later in paragraphs 2 and 3 under the section titled "Preservation Maintenance Schedule and Costs."

5. To implement our proposed program, we would make it as painless as possible for Agency components. This approach would mean that OIS personnel would do the inspection and preservation work for them. Before we undertake these maintenance activities, the custodial offices would have to give permission for their records to be tested and to concur with the kind of service that is performed on them. In some cases, there may be security considerations (e.g., DDO materials) that would preclude some materials from being included in the program. If so, the component responsible for these records would be asked to perform the necessary maintenance in compliance with the procedures and practices that are implemented at the AARC. Guidance and materials would have to be provided to these components to ensure that the program would be executed in a uniform manner throughout the Agency.

6. To start the program, we should identify funds and order the equipment and supplies needed to begin the inspection and maintenance of microforms and paper records. A minimum investment is needed to get the program underway and to operate through FY 1987. (A breakdown of these costs is shown in the Section titled "Recommendation".) We need to begin to budget for additional monies in FY-1988 to continue the program. We would also need to develop procedures to carry out the program as well as a system to manage, control, and report on progress. IRMD has already begun preservation training for personnel in the Archives Section, AARC, and we are working with the Printing and Photography Division, OL, to take an initial look at some of the microfilm.

F. PRESERVATION MAINTENANCE SCHEDULE AND COSTS

1. The proposed preservation program will involve the inspection and maintenance of a large number of records at the AARC. It will require a considerable investment in people, time, and money, if we hope to complete the maintenance of the entire

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permanent record collection within a reasonable period of time. As indicated previously, there are approximately 41,000 cubic feet of permanent records at the AARC including 6,500 cubic feet of film in cold storage. For the sake of discussion, we will assume that the entire 34,500 cubic feet outside of cold storage is paper. On this basis, a breakdown of the permanent records in AARC would be as follows:

Cold Storage

<u>Item</u>	<u>Cu. Ft.</u>
°Microforms	198
°70mm negatives	402
°Briefing board negatives	76
°Motion picture film	580
°NPIC film	5,000
°Empty	244
Total Cold Storage	6,500

Open Stacks

°Paper	<u>34,500</u>
Total Open Stacks	<u>34,500</u>
Total Permanent Records	<u>41,000</u>

NOTE: The permanent record collection has increased an average of 3,350 cubic feet per year over the last five years.

2. To proceed with the preservation program using current AARC personnel will allow a limited number of man-hours to be diverted to this effort. The Chief of AARC has estimated that only 25 percent of the time of the two employees in the Archive Section (1,040 hours per year) could be devoted to preservation activities. He cannot be certain, however, that they can be assigned these duties on a daily basis. Assuming the availability of these two officers for four hours a day, it would take them more than 20 years to complete just one inspection of microforms and to maintain (replace existing materials with acid-free boxes and folders) the 20,000 cubic feet of unmaintained paper records. This level of commitment does not allow time to recopy materials,

¹Includes some non-textual materials such as photographic still pictures, negatives, motion picture film, magnetic tape, microforms, some of the NPIC film, and sound recordings.

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to maintain new accessions, or to replace the old file folders of the 14,500 cubic feet of partially maintained paper files. This minimum effort would cost an estimated \$505,000 over a 20 year period.

3. If the Agency is to carry out a preservation maintenance effort in a reasonable time frame, additional resources will be needed. OIS has requested approval for one additional full-time staff position for the AARC in FY-1986. If approved, this individual would be devoted full-time to the preservation effort, bringing the total time available to preservation to 3,120 hours per year. This additional resource would enable us to complete the effort described in paragraph 2 above in about seven years and would allow the reinspection of the microform collection once every two years as required by the FPMRs. The estimated total cost of this effort would be about \$515,150. It would not include time to recopy materials, to maintain new accessions¹, or to replace acid-free file folders in the partially maintained collection. Additional resources would have to be made available, either from existing AARC personnel or new ceiling, to carry out these other activities.

G. RECOMMENDATIONS

We recommend that a formal Agency preservation program be initiated immediately using the records maintenance approach discussed above. As stated earlier, funds should be identified from existing resources to get the program under way and to continue operating through FY 1987. To sustain the effort beyond that time, we should formally request funds for the program in the FY-1988 budget and in subsequent budgets. Below are estimates of the resources needed to operate a full program until FY-1988 when regular budget appropriations could become available.

<u>FY</u>	<u>Personnel</u>	<u>Equip/Material Costs</u>
1985 (Aug - Sept)	.5	\$10,420
1986	1.5	33,768
1987	1.5	<u>37,888</u>
	TOTAL	<u>\$82,076</u>

¹The above estimates also do not include time or costs for the additional maintenance resulting from the annual growth of 3,350 cubic feet of permanent records. These costs are not included because OIS will eventually implement a policy requiring new accessions deposited at AARC to be housed in approved archival containers. Projected increases in permanent microform deposits will not be significant enough to require additional AARC staff for reinspection.

MAJOR PRESERVATION ACTIVITIES

A. As envisioned in the program, preservation of microforms would require that they be inspected on a systematic basis. The FPMR's require reinspection of microforms every two years during the scheduled life of a collection, using a one percent random sampling. Categories of inspection would include: materials that have not been previously inspected, some that have been previously inspected, and a specified control group. AARC personnel would inspect for microscopic blemishes, physical defects, resolution, and density. Test results and certification of environmental conditions would be recorded, a copy retained, and the original forwarded to NARA. At the time of inspection, PH tests would be conducted on the cardboard storage containers, and those with an unacceptable acid content would be replaced with acid-free products.

B. Testing and preservation treatment of paper documents at AARC would follow less stringent procedures. Conservation of paper materials is a young and developing art, for which NARA has not yet provided specific guidelines. Consequently, our program for these records would consist primarily of testing for the acid content of the paper. This test is a simple non-lab type procedure which can be easily implemented by AARC personnel. Actual preservation treatment of paper does not appear practical on a large scale given the special skills and time required to carry it out. NARA estimates that, depending on the condition of a document, chemical treatment can cost from \$3.90 to \$30 per page. As an example of the tremendous cost that could be incurred, to chemically treat 20,000 cubic feet (40,000,000 pages) of our permanent records at the minimum cost (\$3.90 per page) projected by NARA, would amount to \$144,000,000. It may be desirable for some laboratory preservation treatment on particularly significant Agency records to be accomplished through arrangements outside AARC. If any records at the AARC warrant this type of laboratory preservation, treatment would be done selectively by the Office of Technical Service.

C. A major element of the proposed program would be the replacement of existing storage containers with acid-free ones. During previous ad hoc preservation efforts, the storage containers for about 14,500 cubic feet of permanent paper records were replaced with acid-free archive boxes. The file folders inside the boxes were not replaced, however. One of the first tasks of a preservation program would be to identify and replace the 20,000 remaining acidic storage containers storing permanent records, and the estimated 400,000 file folders in these containers. The preservation would also involve servicing the documents contained in these folders, to include such things as the selective electrostatic copying mentioned earlier, the vertical filing of documents, and the correction of improperly folded materials. The time required to maintain a cubic foot box of permanent holdings in this manner is about one hour at an estimated cost of \$24.40.